

CHAPTER 1 - THE PERSONNEL FILES SYSTEM

1.1 GENERAL

The official personnel file for each employee is maintained at the Administrative Services office. All original documentation must be maintained in the official file. This is done with the intent of ensuring privacy, format standardization, and simplifying the administrative load at the operational level. Immediate and intermediate supervisors are encouraged to keep their personal files to a minimum.

SUPERVISOR LEVEL FILES

It is necessary that the only records kept at the work section level be limited to copies of the following:

- 1 Time and Attendance records.
- 2 A duplicate of the PASE Rating Summaries and checklists.
- 3 Position Description Questionnaire (PDQ).
- 4 Records of counseling concerning problem areas and/or exceptional performance.

Immediate supervisors may wish to keep personal performance notes. Those may not be kept in an individual personnel file. Files kept by the supervisors at section or unit level are unofficial and contents must comply with these provisions and ADOA guidelines. Such files should contain copies of laudatory notes and other positive performance information in addition to relevant negative performance information. Any information filed under an individual's name may be subject to the Privacy Act provisions and be releasable under applicable laws.

THE OFFICIAL PERSONNEL FILE

Original copies of all personnel actions, PASE's, resume or job application, training records, and official correspondence are retained in the Official Personnel File. That information is available to agency personnel with a need to know. It is also available to ADOA Personnel Division officials in their line of duty, members, staff, and hearing officers of the Personnel Board, if appropriate, the employee or his/her representative upon written authorization by the employee, and officials empowered to subpoena records for legal proceedings.

The official file has the following format:

- Section 1 Personnel/Payroll documents; HRMS/HRIS Notification Forms; SF-301; SF-302; DEMA-303; DEMA-012; LWOP Requests; Resignation letter.
- Section 2. Employment Application/Resume; Job Vacancy Announcement; Conditions of Employment; Overtime Election; Loyalty Oath; I-9 Form; other required (i.e. Computer Use) Forms, and File Access Log.
- Section 3. W-4/A-4; Automatic Deposit Authorizations; Documentation for any/all other Additions or Deductions to Payroll; Employment Verification Requests.
- Section 4. Awards; Letters of Commendation/Reprimand
- Section 5. Performance Evaluations; Merit Increase Recommendations
- Section 6. Insurance Forms; Leave Payment Forms; Retirement Forms

Employee Medical Files

A separate file will be maintained by the Administrative Services Officer for state employees, which will include all documents relating to employee medical conditions. Items that will be retained in this file will be the following:

- Emergency Notification Record
- 2. Workers Compensation claims and correspondence
- 3. Sick Leave donations
- 4. Family Medical Leave Act (FMLA) records

DISPOSITION OF FILES

Active files are maintained in the Administrative Services Office. Upon separation, the official personnel file will be retained in that office for one complete calendar year after the year in which the employee separated. After that time, it will be transferred to the Agency records holding area for storage and eventual destruction in accordance with applicable records retention guidelines.

Directives of the Arizona Department of Library and Archives govern all records disposition. Files are destroyed no earlier than five years after separation from state service. Pending legal action may extend the retention period.

1.5 EMPLOYEES TRANSFERRING TO ANOTHER STATE AGENCY

When an employee is transferred to another state agency, his/her official file is also transmitted to that agency according to ADOA Personnel procedures. The Administrative Services Officer determines if any portion of the file should be copied for agency retention prior to transmittal. As a rule, any such retention will be kept to a minimum. An ADOA HRMS Form 40, Inter-Agency Transfer document will accompany the files. After the receipt portion is completed, a final copy will be filed in the agency files for not less than five years.

1.6 PERSONNEL POSITION ACTIONS

Personnel and position actions usually begin with the immediate supervisor and are processed through the Administrative Services Office. An HRMS system generated verification copy of any action is always returned through the supervisor.

PERMANENT EMPLOYEE CARD FILE

Every employee of the agency has a permanent information card filed in the personnel office. Upon separation, the card will be placed in a permanent file and will be destroyed not less than ten years after separation.

ACCESS TO PERSONNEL FILES

Personnel files will be maintained as confidential in accordance with procedures established by statute, the Arizona Department of Library, Archives, and Public Records and appropriate ADOA guidelines. Whenever someone other than the Administrative Services Office personnel or someone in the employee's supervisory chain reviews a file, an entry will be made on the Personnel File Access Log. This form will be maintained in Section 2 of the Official Personnel File.